

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: René Roberts  
Serial No.:  
Filed: January 31, 2000  
For: SYSTEM FOR ACCESS TO AND EXCHANGE OF MARKET DATA

Assistant Commissioner of Patents  
Washington, DC 20231

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**37 CFR 1.9(f) and 1.27(c)**  
**SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:  
☒ an official empowered to act on behalf of the small business concern identified below:

NAME OF CONCERN: AdvantageData.com  
ADDRESS OF CONCERN: 11 Forest Avenue, West Newton, MA 02465

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For the purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full time, part time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract of law have been conveyed to and remain with the small business concern identified above with regard to the invention titled:

TITLE: SYSTEM FOR ACCESS TO AND EXCHANGE OF MARKET DATA  
by:  
INVENTOR(S): René Roberts

described in:

- ☒ the specification filed herewith  
☐ U.S. Patent Application Serial Number \_\_\_\_\_  
filed \_\_\_\_\_  
☐ U.S. Patent Number \_\_\_\_\_

issued \_\_\_\_\_

If the rights of the above-identified small business concern are not exclusive, each individual, concern, or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention, averring to their status as small entities. (37 CFR 1.27).

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: René Roberts

TITLE IN ORGANIZATION: \_\_\_\_\_

ADDRESS OF PERSON SIGNING AdvantageData.com

11 Forest Avenue, West Newton, MA 02465

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

_____ (Application Serial No.)	_____ (filing date)	_____ (status-patented, pending, abandoned)
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_____ (Application Serial No.)	_____ (filing date)	_____ (status-patented, pending, abandoned)
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PCT Applications designating the United States:

_____ (PCT Appl. No.)	_____ (U.S.S.N.)	_____ (status-patented, pending, abandoned)
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I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national filing date of this application.

Provisional Application(s):

_____ Application Number	_____ Filing Date	_____ Status
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I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:  
Sam Pasternack, Reg. No. 29,576; Brenda Herschbach Jarrell, Reg. No. 39,223; Karoline K. M. Shair, Reg. No. 44,332; Kevin M. Tormey, Reg. No. 41,351; Elizabeth Nugent, Reg. No. 43,839; Valarie B. Rosen, Reg. No. P-45,698; Stanley Mah, Reg. No. P-46,189.

Address all telephone calls to Elizabeth E. Nugent at telephone no. (617) 248-5000.

Address all correspondence to Elizabeth E. Nugent, Choate, Hall & Stewart, Exchange Place, 53 State Street, Boston, Massachusetts 02109-2891.

My residence, post office address and citizenship are as stated below next to my name,

# SYSTEM FOR ACCESS TO AND EXCHANGE OF MARKET DATA

X is attached hereto

\_\_\_\_\_ was filed on \_\_\_\_\_ as Application  
Serial No. \_\_\_\_\_ and amended on \_\_\_\_\_ (if  
applicable).

\_\_\_\_\_ was filed as PCT international application No. \_\_\_\_\_  
on \_\_\_\_\_ and was amended under PCT Article 19  
on \_\_\_\_\_ (if applicable).

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

**Prior Foreign Application(s):**

Priority Claimed

(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor Rene Roberts

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence: 11 Forest Avenue, West Newton, MA 02465

Citizenship: U.S.A.

Post Office Address: same

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